

06-01-04

IFW



PATENT

Attorney Docket No. 225660
Client Reference No.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Is the Application of:

Dimitry G. Grabbe

Group Art Unit: 2872

Application No. 10/755,767

Examiner: Not Yet Assigned

Filed: January 12, 2004

For: TOOL AND METHOD FOR FORMING
A MULTI FIBER FERRULE

INFORMATION DISCLOSURE STATEMENT

Mail Stop
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☒ **within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date

of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:

☐ the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).

or

☐ the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).

- ☐ **after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

- ☐ **after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

Copies of the References

- ☐ Copies of all of the references listed on the enclosed Form 1449 are enclosed herewith.
- ☐ This patent application was filed after June 30, 2003. Accordingly, copies of U.S. patents and patent applications that are listed on the accompanying Form 1449 are not enclosed herewith (see Official Gazette Notice of August 5, 2003). Copies of other references identified on the accompanying Form 1449 are enclosed herewith.
- ☐ Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).
- ☐ A copy of the foreign search report is enclosed herewith.
- ☒ The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were

furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status (<i>check one</i>)		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1. 09/908,991	July 19, 2001	X		
2.				
3.				

Statement under 37 CFR 1.97(e)

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

Statement under 37 CFR 1.704(d)

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Fees

- ☒ No fee is owed by the applicant(s).
- ☐ The **IDS Fee of \$180** under 37 CFR 1.17(p) is enclosed herewith.

In re Appln. of Dimitry G. Grabbe
Application No. 10/755,767

Method of Payment of Fees

- ☐ Attached is a check in the amount of \$.
☐ Charge Deposit Account No. 12-1216 in the amount of \$. (A duplicate copy of this communication is enclosed for that purpose.)

Authorization to Charge Additional Fees

- ☒ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.)

Instructions as to Overpayment

- ☒ Credit Account No. 12-1216.
☐ Refund



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Chicago, Illinois 60601-6780
(312) 616-5600 (telephone)
(312) 616-5700 (facsimile)

Date: May 28, 2004

Certificate of Mailing By Express Mail

I hereby certify that this Information Disclosure Statement and all accompanying documents are being deposited with the United States Postal Service "Express Mail Post Office To Addressee" Service No. EV 335719935 US on the date indicated below and is addressed to: Mail Stop: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

JUDITH M. ROBER		May 28, 2004
Name of Person Signing	Signature	Date



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Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 4

Complete if Known

Application Number	10/755,767
Filing Date	January 12, 2004
First Named Inventor	Dimitry G. Grabbe
Group Art Unit	2872
Examiner Name	Not Yet Assigned
Attorney Docket Number	225660 (May 28, 2004)

U.S. PATENT DOCUMENTS

Examiner Initials	Doc. No.	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication	Filing Date If Appropriate
		Application or Patent Number	Kind Code			
	AN	6,398,424		Jin et al.	06/2002	
	AO	6,287,017		Katsura et al.	09/2001	
	AP	6,205,278		Sjolinder	03/2001	
	AQ	6,074,579		Greshes	06/2000	
	AR	6,074,577		Katsura et al.	06/2000	
	AS	6,045,269		Watanabe et al.	04/2000	
	AT	6,035,088		Chandraiah et al.	03/2000	
	AU	5,815,621		Sakai et al.	09/1998	
	AV	5,786,002		Dean et al.	07/1998	
	AW	5,780,079		Lee	07/1998	
	AX	5,778,126		Saitoh	07/1998	
	AY	5,742,720		Kobayashi et al.	04/1998	
	AZ	5,604,834		Beasley, Jr. et al.	02/1997	
	BA	5,574,817		Henson et al.	11/1996	
	BB	5,561,731		Cooke et al.	10/1996	
	BC	5,434,939		Matsuda	07/1995	
	BD	5,379,361		Maekawa et al.	01/1995	
	BE	5,367,598		Devenish, III et al.	11/1994	
	BF	5,351,328		Kakii et al.	09/1994	
	BG	5,339,376		Kakii et al.	08/1994	
	BH	5,315,678		Maekawa et al.	05/1994	
	BI	5,222,179		Auteri	06/1993	
	BJ	5,155,787		Carpenter et al.	10/1992	
	BK	5,155,781		Doss et al.	10/1992	
	BL	5,151,964		Carpenter et al.	09/1992	
	BM	4,983,012		Saito et al.	01/1991	
	BN	4,973,127		Cannon, Jr. et al.	11/1990	
	BO	4,921,325		Iri et al.	05/1990	
	BP	4,898,449		Vroomen et al.	02/1990	
	BQ	4,865,413		Hubner et al.	09/1989	
	BR	4,836,638		Finzel	06/1989	
	BS	4,830,456		Kakii et al.	05/1989	
	BT	4,818,059		Kakii et al.	04/1989	
	BU	4,818,058		Bonanni	04/1989	
	BV	4,784,460		Khoe	11/1988	
	BW	4,725,114		Murphy	02/1988	
	BX	4,657,341		Sammuelier	04/1987	
	BY	4,475,790		Little	10/1984	
	BZ	4,279,468		Turley et al.	07/1981	
	CA	4,046,454		Pugh, III	09/1977	
	CB	4,029,390		Chinnock et al.	06/1977	
	CC	3,864,018		Miller	02/1975	
	CD	2,544,915		Cameron	03/1951	

Please type a plus sign (+) inside this box →



Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known	
				Application Number	10/755,767
				Filing Date	January 12, 2004
				First Named Inventor	Dimitry G. Grabbe
				Group Art Unit	2872
				Examiner Name	Not Yet Assigned
Sheet	2	of	4	Attorney Docket Number	225660 (May 28, 2004)

FOREIGN PATENT DOCUMENTS								
Examiner Initials	Doc. No.	Foreign Patent Document			Name of Patentee or Applicant	Date of Publication	Translation	
		Office	Application or Patent Number	Kind Code			Yes	No**
	C E	JP	9-68627			03/1997		*
	C F	JP	8-179161		Sumitomo Electric Ind., Ltd.	07/1996		+
	C H	JP	7-159652		Sumitomo Electric Ind., Ltd.	06/1995		+
	C I	JP	2-146510		Furukawa Electric Co., Ltd.	06/1990		+
	C J	JP	64-35509			02/1989		*
	C K	JP	63-55507			03/1988		*

OTHER - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Doc. No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.		

Examiner Signature		Date Considered	
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* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).

+ An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).



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Sheet	3	of	4
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OTHER - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Doc. No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.	Translation	
			Yes	No**

Date Considered

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		Application or Patent Number	Kind Code			
		5,037,179		Bortolin et al.	8/1991	
		5,044,711		Saito	9/1991	
		5,170,456		Itoh et al.	12/1992	
		5,548,677		Kakii et al.	8/20/96	

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		Office	Application or Patent Number	Kind Code			Yes	No**

OTHER - NON PATENT LITERATURE DOCUMENTS				
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